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AUTHOR Marsden, Mary Ellen, Ed.; Straw, Richard S., Ed.

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ABSTRACT

This report presents methodology and findings from the Uniform Facility Data Set (UFDS) 1997 Survey of Correctional Facilities, which surveyed about 7,600 adult and juvenile correctional facilities to identify those that provide on-site substance abuse treatment to their inmates or residents. The survey assesses substance abuse treatment provided within the nation's Federal prisons, state prisons, jails, and public and private juvenile facilities. The report has eight sections and three appendixes. Following the introduction, Sections 2 and 3 present the background and reasons for conducting the UFDS 1997 Survey of Correctional Facilities; the survey methodology; the development and the pilot testing of the survey instrument; the data collection and response rate; and the terminology and definitions used in the report. The main findings from the survey are presented in sections 4 through 8. Section 4 includes an enumeration of facilities providing supplemental non-treatment substance abuse services by facility type (Federal prison, state prison, jail, or juvenile facility), the number of facilities providing treatment by treatment setting (specialty substance abuse treatment unit, treatment in the general inmate population, or treatment in hospital inpatient/psychiatric units), and the number of facilities providing treatment by type of counseling (individual counseling, group counseling, or family counseling). Sections 5 through 8 focus on more detailed data for Federal prisons, state prisons, jails, and juvenile facilities, respectively. (Contains 30 tables and 3 appendixes.) (GCP)

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Findings from the Uniform Facility Data Set 1997 Survey of Correctional Facilities

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Highlights

This report presents findings from the Uniform Facility Data Set (UFDS) 1997 Survey of Correctional Facilities, which surveyed a universe of about 7,600 adult and juvenile correctional facilities to identify those that provide on-site substance abuse treatment to their inmates or residents. Among the 7,243 correctional facilities responding to this telephone survey, 2,731 facilities indicated that they provide substance abuse treatment. An additional 296 correctional facilities reported providing substance abuse treatment in the Substance Abuse and Mental Health Services Administration's (SAMHSA's) main 1996 UFDS survey, for a total of 3,027 correctional facilities providing substance abuse treatment. Highlights from the report follow:

- In 1997, about 40% of all correctional facilities nationwide, or 3,027 Federal, state, and local adult and juvenile correctional facilities, provided on-site substance abuse treatment to inmates or residents (Appendix A, all states).

- Approximately 173,000 adults and juveniles were in substance abuse treatment in those institutions that provided treatment (Table 11).

- Over 13% of the inmates or residents receiving substance abuse treatment in correctional facilities, or about 23,000 individuals, were under the age of 18 (Table 12).

- The most common type of substance abuse treatment reported was treatment for patients remaining in the general inmate population rather than residing in treatment units apart from other inmates. Nearly 84% of facilities with treatment reported this type of treatment (Table 9).

- Almost 70% of the inmates in treatment were treated in the general facility population. About 28% of the inmates in treatment were in specialized substance abuse treatment units, and 2% were in hospital inpatient treatment units (Table 11).

- Private organizations operated 22% of the substance abuse treatment programs in state prisons, 21% of the treatment programs in jails, and 52% of the treatment programs in juvenile facilities (Table 6).

I. Introduction

This report presents the methodology and findings from the first national survey of adult and juvenile correctional facilities regarding substance abuse treatment services provided on-site to adult inmates and juvenile residents. The survey was conducted in 1997 to assess substance abuse treatment provided within the nation's Federal prisons, state prisons, jails, and public and private juvenile facilities.

The nation's battle against substance abuse and addiction is having a growing impact on U.S. correctional systems. Substance abuse and crime appear inextricably linked. About half of the inmates in state and Federal prisons in 1997 reported using drugs or alcohol while committing their offense, and about one in six inmates in state and Federal prisons said they committed their current offense to obtain money to buy drugs. Involvement of inmates in drugs or alcohol in the month before the offense or at the time of the offense increased during the 1990s (Bureau of Justice Statistics [BJS], 1999a). Correctional systems nationwide are witnessing ever-increasing numbers of drug offenders coming under their supervision. Recent criminal and juvenile justice research cites arrests for illicit drug use as a major contributor to substantially increasing correctional populations. In 1998, the Federal Bureau of Investigation's Uniform Crime Reports estimated that there were about 1.6 million state and local arrests for drug abuse violations, an increase of almost 1 million since 1980. Drug abuse violations in 1998 accounted for an estimated 30% of all arrests (BJS, 1999b). In addition, a large proportion of arrestees today are testing positive for drug use at the time of arrest. Data collected through the National Institute of Justice (NIJ) Arrestee Drug Abuse Monitoring (ADAM) program have shown that in 35 major cities across the nation, about two thirds of adult arrestees and more than half of juvenile male arrestees tested positive for at least one drug at the time of arrest in 1998 (NIJ, 1999). ADAM data also show that multiple drug use is a serious problem among this nation's arrestees. In one major city, more than 40% of males and 30% of females tested positive for more than one drug (NIJ, 1999). Data such as these suggest that a large number of individuals who enter the nation's correctional institutions each year have some form of substance abuse problem.

In recent years, all types of correctional facilities, including Federal and state prisons, jails, and juvenile facilities, have observed significant increases in the proportion of their populations held for drug offenses. According to the BJS, 38,900 drug offenders in 1985 were in the custody of state correctional authorities (BJS, 1997). By 1997, the number had risen to 227,400, almost a sixfold increase (BJS, 1999b). In Federal prisons, the number of drug offenders rose from 9,482 in 1985 to 55,194 in 1996, and drug offenders accounted for the largest portion of Federal inmates, 60% (BJS, 1999b). The nation's jails have also experienced an increase in the number of inmates charged with or convicted of drug offenses. Drug law violations constituted the largest source of growth in jail populations during the late 1980s. The proportion of jail inmates charged with or convicted of drug offenses rose from 9% in 1983 to 22% in 1996 (BJS, 1999b). Juvenile arrests for drug abuse violations increased 86% between 1989 and 1998 (Office of Juvenile Justice and Delinquency Prevention [OJJDP], 1999b). Additionally, the number of juvenile drug cases involving detention increased 89% between 1987 and 1996, and 58% between 1992 and 1996 (OJJDP, 1999a). The increase in drug-related incarcerations reflects an increase in the general level of drug involvement of the populations in

our nation's correctional facilities. These trends over the past decade suggest a need for more data about the level and character of substance abuse treatment within the nation's correctional facilities.

The Substance Abuse and Mental Health Services Administration (SAMHSA) within the U.S. Department of Health and Human Services (DHHS) currently conducts an annual census of substance abuse treatment facilities, identified primarily by state substance abuse agencies, but also by other sources, such as hospital listings, business directories, and facilities themselves. Federal facilities are also included. This annual data collection effort is the Uniform Facility Data Set (UFDS) survey (Office of Applied Studies [OAS], 1999). This survey primarily focuses on community-based treatment centers and thus underrepresents treatment programs in jails, prisons, and juvenile facilities. Starting in 1999, the annual UFDS excludes altogether treatment programs in correctional facilities.

In 1997, at the request of ONDCP, SAMHSA designed and conducted a special survey of substance abuse treatment services in adult and juvenile correctional facilities. The project included development of an inventory from Department of Justice (DOJ) lists of all correctional facilities that potentially provide on-site treatment. These facilities were surveyed to determine whether treatment is provided and to assess treatment characteristics.

This report has eight sections and three appendices. Following this introduction, Sections II and III present the background and reasons for conducting the UFDS 1997 Survey of Correctional Facilities; the survey methodology, including the creation of the universe of correctional facilities; the development and the pilot testing of the survey instrument; the data collection and response rate; and the terminology and definitions used in this report. The main findings from the survey are presented in Sections IV through VIII. Section IV includes an enumeration of facilities providing supplemental non-treatment substance abuse services by facility type (Federal prison, state prison, jail, or juvenile facility), the number of facilities providing treatment by treatment setting (specialty substance abuse treatment unit, treatment in the general inmate population, or treatment in hospital inpatient/psychiatric units), and the number of facilities providing treatment by type of counseling (individual counseling, group counseling, or family counseling). Section IV also presents data on the number of individuals receiving various types of treatment in correctional facilities and the ratio of patients to paid staff providing treatment. Sections V through VIII focus on more detailed data for Federal prisons, state prisons, jails, and juvenile facilities, respectively.

Appendix A presents the correctional facilities that provided treatment, broken down by facility type and state. Appendix B includes a copy of the UFDS 1997 Survey of Correctional Facilities instrument. Appendix C includes a sample of a letter sent to all correctional facilities in the survey universe prior to the UFDS 1997 Survey of Correctional Facilities.

II. Background

SAMHSA maintains a nationwide master list of all known substance abuse treatment providers called the National Master Facility Inventory (NMFI). As the cornerstone of SAMHSA's Drug and Alcohol Services Information System (DASIS), the NMFI provides the facility universe for SAMHSA's treatment service system data collection efforts, including the Uniform Facility Data Set (UFDS) and the Treatment Episode Data Set (TEDS). The NMFI also serves as a sampling frame for treatment outcomes studies, such as the Alcohol and Drug Services Study (ADSS). Before 1995, the NMFI was comprised solely of facilities identified by state substance abuse agencies. Consequently, it underrepresented certain segments of the treatment service delivery system, particularly private providers and correctional facilities. As a result, the annual UFDS survey understated the level of treatment services available and the number of people in treatment.

In the fall of 1995, in an effort to improve the comprehensiveness of the NMFI, SAMHSA began to augment the NMFI frame by identifying additional facilities providing on-site treatment. The 1995 augmentation effort cast a wide net in identifying additional facilities, but it did not target correctional facilities potentially providing substance abuse treatment.

As a principal user of SAMHSA's treatment service and utilization data sets, the Office of National Drug Control Policy (ONDCP) expressed particular concern about the underrepresentation of correctional facilities in the UFDS survey. In the fall of 1996, the ONDCP requested that SAMHSA collaborate with the Department of Justice (DOJ) to develop and conduct a survey of substance abuse treatment services and utilization within adult and juvenile correctional facilities to supplement the data collected by UFDS. The resulting UFDS 1997 Survey of Correctional Facilities met SAMHSA's and ONDCP's shared goals of expanding coverage of treatment providers and providing more accurate reporting of the level of treatment services and the number of people in treatment in correctional settings. Future studies are anticipated.

Because this study was designed to yield much needed information on the nature and extent of substance abuse treatment programs in correctional settings, SAMHSA recognized that the results would benefit administrators and policy makers in state substance abuse agencies, state departments of correction, juvenile justice agencies, and the rest of the correctional community. SAMHSA received advice from the National Association of State Alcohol and Drug Abuse Directors (NASADAD), the American Correctional Association (ACA), and the National Sheriffs Association (NSA). Both the ACA and the NSA provided courtesy announcements of the study in their monthly magazines.

III. Methodology

III.A. Survey Design

The UFDS 1997 Survey of Correctional Facilities was designed to determine the extent to which each facility provided substance abuse services, including supplemental non-treatment services, as well as formal substance abuse treatment. For all correctional facilities, the survey sought information about supplemental services, such as assessment of adult inmates and juvenile residents for alcohol and drug problems, testing of inmates or residents for alcohol and drug use, provision of alcohol and drug education/awareness programs, and the availability of substance abuse-related self-help groups. The survey also collected information about whether formal treatment for substance abuse was provided on site. For facilities providing treatment on site, additional information was collected about the types of treatment offered, the number of inmates or residents in treatment, and the staff providing treatment. The survey instrument was modeled on the UFDS survey of substance abuse treatment facilities, with modifications appropriate to treatment in correctional facilities. Focus groups comprised of both adult and juvenile corrections and treatment staff advised SAMHSA on the survey instrument and data collection methods (see copy of instrument in Appendix B).

III.B. Survey Universe

The survey universe was limited to programs operating within correctional facilities rather than to programs operating outside the facilities, such as diversion or probation and parole programs. Substance abuse treatment offered in such programs outside of correctional facilities is often provided in community-based facilities already covered in the annual UFDS survey.

The Bureau of Justice Statistics (BJS), the Office of Juvenile Justice and Delinquency Prevention (OJJDP), and the Federal Bureau of Prisons (BOP) within DOJ provided information to create an inventory of correctional facilities. Sources of information for the development of the inventory include the following:

- State prisons: *1995 Census of State and Federal Correctional Facilities (Adult)* from the DOJ/BJS;
- Federal prisons: The preceding data base and additional information on specific treatment programs from the BOP's substance abuse treatment division;
- Jails: *1993 Census of Jails* from the DOJ/BJS; and
- Juvenile facilities: *1995 Census of Public Juvenile Detention, Correctional, and Shelter Facilities* from the DOJ/OJJDP.

Initially, the survey universe consisted of 8,242 facilities obtained from these DOJ sources. A total of 501 correctional facilities that were on these lists but were already listed in the National Master Facility Inventory (NMFI) were omitted from the survey universe because

they had been included in SAMHSA's 1996 Uniform Facility Data Set (UFDS) survey. Of these 501 NMFI facilities, 296 provided substance abuse treatment. Data for these 296 facilities were extracted from the 1996 UFDS data and are included in this report.

While the survey was in the field, 88 new correctional facilities were identified from facility lists provided by state agencies or from information provided by facility contacts during the survey. These newly identified facilities were reviewed; those not included in the existing surveys were added to the sampling frame. As a result of these additions and changes, the universe for the correctional survey was reduced to an interim count of 7,829 for the survey mailing and calls. During the survey, an additional 231 facilities were deemed ineligible for the survey (e.g., because of facility closure or record duplication); these facilities were excluded from the universe, resulting in an adjusted universe of 7,598 adult and juvenile correctional facilities. Table 1 provides a complete breakdown of the survey universe.

Table 1
Survey Universe and Response Rate for the UFDS 1997 Survey of Correctional Facilities

Universe and Response Category	Total	Federal Prisons	State Prisons	Jails	Juvenile Facilities
Facilities from DOJ[1]	8,242	134	1,255	3,310	3,543
(Less Facilities in NMFI)[2]	(501)	0	(151)	(84)	(266)
(Less Ineligible Facilities)[3]	(231)	(5)	(26)	(74)	(126)
Newly Identified Facilities[4]	88	0	55	20	13
Adjusted Universe	7,598	129	1,133	3,172	3,164
Response					
Nonrespondents	355	0	64	105	186
Respondents	7,243	129	1,069	3,067	2,978
Response Rate[5]	95.3%	100.0%	94.4%	96.7%	94.1%

[1]The correctional facility universe from the U.S. Department of Justice (DOJ) is comprised of facility listings for the following:
(a) Federal Bureau of Prisons (BOP);
(b) Bureau of Justice Statistics (BJS) *1995 Census of State and Federal Correctional Facilities (Adult)* (excludes 120 facilities with census responses indicating no programs for alcohol or drug abuse);
(c) BJS *1993 Census of Jails*; and
(d) Office of Juvenile Justice and Delinquency Prevention (OJJDP) *1995 Census of Public Juvenile Detention, Correctional, and Shelter Facilities* (all 1,132 public and 2,411 private facilities).

[2]These 501 facilities were already listed in SAMHSA's National Master Facility Inventory (NMFI) of substance abuse facilities (296 of these provided treatment) and therefore were included in SAMHSA's annual UFDS survey.

[3]Ineligible facilities were comprised of facilities found to be closed or that duplicated records.

[4]These facilities were identified by state correctional and juvenile service agencies and by other local sources.

[5]Response rate was defined as the number of respondents as a percentage of the adjusted facility universe, which comprised all eligible facilities.

Source: SAMHSA, Office of Applied Studies, Uniform Facility Data Set (UFDS) 1997 Survey of Correctional Facilities.

III.C. Data Collection

The UFDS 1997 Survey of Correctional Facilities was designed as a brief interview to be conducted by telephone with the facility administrator or his/her designee using computer-assisted telephone interviewing (CATI) technology. SAMHSA issued advance letters, co-signed by the director of DOJ's Corrections Program Office, to all state departments of correction, juvenile justice agencies, and substance abuse agencies, informing them of the upcoming telephone survey and asking them to encourage facilities under their purview to participate. In addition, SAMHSA sought the assistance of state agencies in updating facility listings while keeping them apprised of survey progress. Similar letters of information also were sent to correctional facility administrators (see Appendix C).

The survey collected data using a rolling 1-day census date as facilities were contacted over a 4-month period. Facilities were asked to respond to questions based on their services as of the date of the interview. The same date then was used throughout the entire interview to maintain a consistent reference date for each facility. The primary purpose of the rolling reference period was to compile the most up-to-date list of treatment facilities. It is used in this survey to approximate a 1-day census so that a point-prevalence count of individuals in treatment can be estimated.

The telephone survey was pilot tested in May 1997, and telephone calls to the full sample began in June 1997. For each listing, the facility was called until (a) a survey was completed; (b) a minimum of 10 attempts had been made to complete the interview; or (c) confirmation was received over the telephone, by mail, or through the state agency that the facility had closed. All facilities that had not completed an interview or been confirmed closed were sent a paper version of the questionnaire via certified mail. Facilities that had not returned a completed survey within 2 weeks then received three more telephone calls in a final attempt to complete the survey.

III.D. Response Rate

The overall response rate for the UFDS 1997 Survey of Correctional Facilities was 95%, with 7,243 of the 7,598 eligible facilities responding. A total of 100% of Federal prisons, 94% of state prisons, 97% of jails, and 94% of juvenile facilities completed the survey (see Table 1).

Of the facilities that did not respond to the survey, 34 facilities refused to participate, and 321 could not be contacted by telephone or did not complete the survey after 10 phone calls, for a total of 355 nonrespondents.

III.E. Item Nonresponse and Imputation

A key element in this survey is the number of clients in treatment in three different possible settings: separate substance abuse treatment units, general facility population, and hospital or psychiatric units. A relatively small amount of missing data required imputation. Only 257 (9%) of 2,731 facilities responding as treatment providers to the UFDS 1997 Survey of Correctional Facilities required imputation on one or more of the treatment count variables. Imputations were made using a "hot-deck" procedure in which treatment counts were estimated

using the proportion of inmates and residents in treatment at facilities with similar basic characteristics and treatment patterns. Once imputation was completed for all missing values, a new "total in treatment" variable was calculated as the sum of inmates in treatment from each treatment setting.

III.F. Terminology

This report uses specialized definitions of a few key terms: "correctional facility," "inmates/residents," "substance abuse treatment," and "treatment setting."

Correctional Facility: For this report, all adult and juvenile facilities in the four Department of Justice (DOJ) source files listed in Section III.B were considered to be "correctional facilities." All public and private juvenile facilities in the Office of Juvenile Justice and Delinquency Prevention (OJJDP) source files were included in the universe, regardless of their categorization in that file, in an attempt to identify facilities that house residents and could provide substance abuse treatment in-house to these residents. Some facilities in the study, especially juvenile group homes or shelters, do not necessarily classify themselves as correctional. Nonetheless, such facilities were included because they were under the purview of a correctional or juvenile justice agency or because they were otherwise associated with a state or local corrections system.

Inmates/Residents: The terms "inmates" and "residents" are used broadly in this report to refer to all individuals currently residing in the facilities in the source lists. Bureau of Justice Statistics (BJS) studies and publications use more precise inmate classifications according to confinement or incarceration status. Data presented here on a facility's total number of inmates or residents are not intended to supplant any DOJ data on the number of inmates held in correctional facilities. Therefore, readers should consult BJS and OJJDP sources for comprehensive and precise data on inmate and resident populations.

Substance Abuse Treatment: For the purposes of this study, substance abuse treatment was defined as services that focus on initiating and maintaining an individual's recovery from alcohol or drug abuse and on averting relapse, including detoxification, group or individual counseling, rehabilitation, and methadone or other pharmaceutical treatment. Treatment does not include drug or alcohol education or self-help groups, such as Alcoholics Anonymous (AA) or Narcotics Anonymous (NA). The definition for substance abuse treatment used here may be more restrictive than the definition employed in other criminal justice studies, which can include stand-alone education/awareness programs and self-help groups as treatment.

There is no consensus among behavioral researchers regarding whether detoxification for alcohol or other drugs is appropriately classified as substance abuse treatment. However, because SAMHSA's UFDS survey includes detoxification as treatment, this study follows that approach.

Treatment Setting: SAMHSA's annual UFDS survey uses the terms "residential," "outpatient," and "hospital inpatient" to describe types of care. The terminology was modified slightly for the UFDS 1997 UFDS Survey of Correctional Facilities in an effort to make it more

comprehensible to facility survey respondents. Consequently, this report distinguishes between treatment provided in a specialized substance abuse treatment unit, treatment provided in the general inmate/resident population of the correctional facility, and treatment provided in an on-site hospital inpatient or psychiatric unit. For this study, a specialized unit was defined as a unit where those receiving substance abuse treatment live separate from the rest of the facility population while sleeping. They may or may not be separated for other activities, such as education, recreation, or meals. Treatment in the general facility population refers to treatment for substance abuse that is provided other than in a specialized treatment unit or in a hospital or psychiatric ward, where the inmate or resident returns to his or her regular bed within the facility at night. The specialized unit category is generally analogous to the residential treatment category in the UFDS survey. Treatment in the general inmate/resident population is analogous to outpatient treatment, and treatment in an on-site hospital or psychiatric unit is equivalent to hospital inpatient treatment. Using these analogies, type of care data for the 296 correctional facilities reporting treatment in the general UFDS survey were merged into the data file for the UFDS 1997 Survey of Correctional Facilities.

IV. All Correctional Facilities

IV.A. Facilities Providing Selected Non-Treatment Substance Abuse Services

In the UFDS 1997 Survey of Correctional Facilities instrument, Section 2 and part of Section 3 were designed to determine what types of non-treatment substance abuse services were being provided to inmates or residents in correctional facilities (see Appendix B). These sections of the survey instrument were answered by all respondents, not just those who provided more formal substance abuse treatment. Respondents were asked if they assessed inmates or residents for substance abuse problems, conducted drug testing of inmates or residents, or provided substance abuse education or awareness classes to inmates or residents. The respondents also were asked if detoxification was provided to inmates or residents by the facility and whether Alcoholics Anonymous (AA) or Narcotics Anonymous (NA) groups were held for inmates or residents within the facility. Table 2 shows the percentage of facilities that provided these types of non-treatment substance abuse services to their inmates or residents. About 64% offered assessments for substance abuse treatment; 63% provided substance abuse education or awareness training; 57% provided AA, NA, or other self-help groups; 56% provided drug testing; and 16% provided detoxification services.

Table 2
Correctional Facilities Providing Selected Non-Treatment Substance Abuse Services, by Facility Type

Selected Substance Abuse Services	Facility Type				
	All Facilities	Federal Prisons	State Prisons	Jails	Juvenile Facilities
Total Facilities	7,243	129	1,069	3,067	2,978
Assessment for Treatment Need	63.7%	86.8%	67.1%	63.6%	61.6%
Drug Testing	55.9%	87.6%	88.4%	42.2%	56.9%
AA, NA, Other Self-Help	57.3%	84.5%	92.5%	59.7%	41.0%
Education/Awareness	63.2%	89.9%	82.6%	43.4%	75.4%
Detoxification	15.5%	22.5%	8.0%	28.1%	4.9%

Source: SAMHSA, Office of Applied Studies, Uniform Facility Data Set (UFDS) 1997 Survey of Correctional Facilities.

IV.B. Facilities Providing Substance Abuse Treatment

Of the 7,243 total adult and juvenile correctional facilities responding to the UFDS 1997 Survey of Correctional Facilities 2,731 (or 38%) of those facilities provided substance abuse treatment to the inmates/residents incarcerated or residing within the facilities (see Table 3). Federal and state prisons were the most likely to provide treatment at the time of the survey. About 94% of Federal prisons reported that they provided treatment, and 56% of state prisons

Table 3
Correctional Facilities Providing Substance Abuse Treatment, by Facility Type

Response Category	Total	Federal Prisons	State Prisons	Jails	Juvenile Facilities
Total Correctional Facilities Responding to Survey	7,243	129	1,069	3,067	2,978
Number of Facilities Providing Treatment	2,731	121	602	1,000	1,008
Percentage of Facilities Providing Treatment	37.7%	93.8%	56.3%	32.6%	33.8%

Source: SAMHSA, Office of Applied Studies, Uniform Facility Data Set (UFDS) 1997 Survey of Correctional Facilities.

provided treatment. Smaller proportions of jails and juvenile facilities, about one third of each, provided treatment for substance abuse at the time of the survey.

In addition to the 2,731 correctional facilities responding as substance abuse treatment providers in the UFDS 1997 Survey of Correctional Facilities, 296 correctional facilities reported as treatment providers in SAMHSA's main 1996 UFDS survey. Because data from these facilities were recent, the facilities were not re-surveyed for this special correctional facility survey, and their UFDS survey records were used in the correctional facility survey's data file. The resulting combined count of correctional facilities providing treatment was 3,027 facilities (see Table 4). This total will be used in the remainder of the report, and the remaining tables will refer to data from both the UFDS 1997 Survey of Correctional Facilities and the main 1996 UFDS survey.

Table 4
Combined Numbers of Correctional Facilities Providing Treatment from Both the UFDS 1997 Survey of Correctional Facilities and the Main 1996 UFDS Survey

Facility Source	Total	Federal Prisons	State Prisons	Jails	Juvenile Facilities
1997 Survey of Correctional Facilities	2,731	121	602	1,000	1,008
1996 UFDS Survey	296	0	114	47	135
Total, All Sources	3,027	121	716	1,047	1,143

Sources: SAMHSA, Office of Applied Studies, Uniform Facility Data Set (UFDS) 1997 Survey of Correctional Facilities, and 1996 UFDS Survey.

IV.C. Facility Ownership and Treatment Program Operation

Those facilities providing treatment at the time of the UFDS 1997 Survey of Correctional Facilities were asked to provide information about the ownership of their facility and the operation of the treatment program within the facility. About 68% of all correctional facilities that were providing treatment to their inmates were owned by a government agency, about 20% were privately owned, about 1% had another ownership arrangement, and about 12% did not report their ownership type (see Table 5).

Table 5
Correctional Facilities Providing Substance Abuse Treatment, by Facility Ownership and Facility Type

Facility Ownership	Facility Type									
	Number of Facilities					Percentage of Facilities				
	Total Facilities	Federal Prisons	State Prisons	Jails	Juvenile Facilities	Total Facilities	Federal Prisons	State Prisons	Jails	Juvenile Facilities
Total	3,027	121	716	1,047	1,143	100.0%	100.0%	100.0%	100.0%	100.0%
Public/ Government	2,042	108	539	967	428	67.5%	89.3%	75.3%	92.4%	37.4%
Private	609	0	52	12	545	20.1%	0.0%	7.3%	1.1%	47.7%
Other	20	0	4	9	7	0.7%	0.0%	0.6%	0.9%	0.6%
Unknown	356	13	121	59	163	11.8%	10.7%	16.9%	5.6%	14.3%

Note: Percentages may not sum to 100 due to rounding.

Sources: SAMHSA, Office of Applied Studies, Uniform Facility Data Set (UFDS) 1997 Survey of Correctional Facilities, and 1996 UFDS Survey.

Juvenile facilities had the highest proportion of private ownership, with about 48% of the facilities privately owned. These numbers do not account for the ownership of those facilities that did not respond to this question in the survey.

About 50% of facilities reported that the treatment program within the facility was operated by a government entity, and about 32% of the facilities reported that the facility's treatment programs were operated by private organizations (see Table 6). Table 6 breaks down the operation of treatment programs by facility type. Virtually all of the treatment programs in Federal facilities were operated by the Federal Government. In contrast, 22% of state prisons housed privately operated treatment programs, and 21% of the jails that responded to the survey had privately operated treatment programs. The juvenile facilities had the highest percentage, 52%, of privately run treatment programs.

IV.D. Size of Correctional Facilities Providing Treatment

Each correctional survey respondent was provided with an inmate count obtained from Department of Justice (DOJ) source files and asked to verify the count or update it if needed. This count included all inmates, not just those receiving substance abuse treatment. Table 7 presents the distribution of the Federal and state prisons and jails that provided substance abuse treatment according to facility size based on total inmate count. Size breakdown of juvenile facilities is presented in a separate table (Table 8) because different size categories were used to reflect the relatively small number of residents in these facilities.

Table 6
Correctional Facilities Providing Substance Abuse Treatment, by Treatment Program Operation and Facility Type

Treatment Program Operation	Facility Type									
	Number of Facilities					Percentage of Facilities				
	Total Facilities	Federal Prisons	State Prisons	Jails	Juvenile Facilities	Total Facilities	Federal Prisons	State Prisons	Jails	Juvenile Facilities
Total	3,027	121	716	1,047	1,143	100.0%	100.0%	100.0%	100.0%	100.0%
Public/ Government	1,516	107	412	681	316	50.1%	88.4%	57.5%	65.0%	27.6%
Private	978	0	160	224	594	32.3%	0.0%	22.3%	21.4%	52.0%
Combination	104	1	20	42	41	3.4%	0.8%	2.8%	4.0%	3.6%
Unknown	429	13	124	100	192	14.2%	10.7%	17.3%	9.6%	16.8%

Note: Percentages may not sum to 100 due to rounding.

Sources: SAMHSA, Office of Applied Studies, Uniform Facility Data Set (UFDS) 1997 Survey of Correctional Facilities, and 1996 UFDS Survey.

Table 7
Distribution of Federal Prisons, State Prisons, and Jails Providing Substance Abuse Treatment, by Facility Size and Facility Type

Total Facility Population (number of inmates)	Number of Facilities				Percentage of Facilities			
	Total	Federal Prisons	State Prisons	Jails	Total	Federal Prisons	State Prisons	Jails
Total Facilities	1,884	121	716	1,047	100.0%	100.0%	100.0%	100.0%
Fewer Than 250 Inmates	980	14	234	732	52.0%	11.6%	32.7%	69.9%
250 - 499 Inmates	273	21	100	152	14.5%	17.4%	14.0%	14.5%
500 - 999 Inmates	283	33	159	91	15.0%	27.3%	22.2%	8.7%
1,000 - 2,000 Inmates	267	50	170	47	14.2%	41.3%	23.7%	4.5%
2,000+ Inmates	70	3	48	19	3.7%	2.5%	6.7%	1.8%
Unknown Facility Size	11	0	5	6	0.6%	0.0%	0.7%	0.6%

Note: Facility size is based on total inmate counts. Percentages may not sum to 100 due to rounding.

Sources: SAMHSA, Office of Applied Studies, Uniform Facility Data Set (UFDS) 1997 Survey of Correctional Facilities, DOJ original source files, and 1996 UFDS Survey.

Table 8
Distribution of Juvenile Facilities Providing Substance Abuse Treatment, by Facility Size and Facility Type

Total Facility Population (number of residents)	Juvenile Facilities	
	Number	Percentage
Total, All Facilities Sizes	1,143	100.0%
Fewer Than 25 Residents	611	53.5%
25 - 49 Residents	215	18.8%
50 - 99 Residents	156	13.6%
100 - 249 Residents	105	9.2%
250+ Residents	39	3.4%
Unknown Facility Size	17	1.5%

Note: Facility size is based on total resident counts.

Sources: SAMHSA, Office of Applied Studies, Uniform Facility Data Set (UFDS) 1997 Survey of Correctional Facilities, DOJ original source files, and 1996 UFDS Survey.

About half of the adult correctional facilities providing treatment reported that they housed fewer than 250 inmates, primarily because jails, the largest category of adult facilities, tended to be smaller (about 70% of jails with treatment housed fewer than 250 inmates). Juvenile treatment facilities were relatively small, with over half housing fewer than 25 inmates/residents.

IV.E. Treatment Settings

For the purposes of the survey, three different treatment settings were studied: substance abuse treatment provided in a specialized unit within the institution, treatment or counseling in the general facility inmate population, and substance abuse treatment provided in a hospital/psychiatric inpatient unit within the institution.

Respondents were asked which type of treatment was provided within their correctional facility. Of the 3,027 facilities that reported providing treatment, about 84% reported that they provided treatment for the general facility population either alone or in some combination with other treatment settings (see Table 9). About 71% of facilities with treatment provided general population treatment only, while an additional 13% provided treatment in the general facility population in combination with other treatment in specialized units or hospital/psychiatric units (see Table 10).

About 26% of correctional facilities providing treatment did so in specialized treatment units. Over half of those provided treatment in specialty units only, while the rest had specialty treatment units in combination with treatment for the general facility population and/or in hospital inpatient units. Only about 5% of correctional facilities provided treatment in inpatient hospital settings, usually in combination with another setting.

Table 9
Correctional Treatment Facilities Providing Each Treatment Setting in *Any* Combination, by Facility Type

Treatment Setting	Treatment Facility Type				
	Total	Federal Prisons	State Prisons	Jails	Juvenile Facilities
Total, All Treatment Facilities	3,027	121	716	1,047	1,143
Specialized Treatment Unit	26.3%	40.5%	33.0%	30.9%	16.4%
General Facility Population Treatment	83.8%	94.2%	82.0%	78.5%	88.8%
Hospital or Psychiatric Treatment Unit	5.0%	5.8%	5.7%	7.6%	2.1%

Note: Percentages are based only on facilities reporting that they offered any substance abuse treatment. Percentages total more than 100% because some facilities offered treatment in more than one setting.

Sources: SAMHSA, Office of Applied Studies, Uniform Facility Data Set (UFDS) 1997 Survey of Correctional Facilities, and 1996 UFDS Survey.

Table 10
Correctional Treatment Facilities Providing *Each* Combination of Treatment Settings, by Facility Type

Treatment Setting	Number of Facilities					Percentage of Facilities				
	Total	Federal Prisons	State Prisons	Jails	Juvenile Facilities	Total	Federal Prisons	State Prisons	Jails	Juvenile Facilities
Total, All Treatment Facilities	3,027	121	716	1,047	1,143	100.0%	100.0%	100.0%	100.0%	100.0%
Specialized Treatment Unit Only	434	7	114	191	122	14.3%	5.8%	15.9%	18.2%	10.7%
General Facility Population Treatment Only	2,137	67	454	676	940	70.6%	55.4%	63.4%	64.6%	82.2%
Hospital or Psychiatric Treatment Unit Only	32	0	8	20	4	1.1%	0.0%	1.1%	1.9%	0.3%
Specialized Unit & General Facility Population Treatment	304	40	107	100	57	10.0%	33.1%	14.9%	9.6%	5.0%
Specialized Unit & Hospital/Psychiatric Treatment Unit	23	0	7	14	2	0.8%	0.0%	1.0%	1.3%	0.2%
General Facility Population Treatment & Hospital/Psychiatric Unit Treatment	62	5	18	27	12	2.0%	4.1%	2.5%	2.6%	1.0%
Combination of All Three Settings	35	2	8	19	6	1.2%	1.7%	1.1%	1.8%	0.5%

Sources: SAMHSA, Office of Applied Studies, Uniform Facility Data Set (UFDS) 1997 Survey of Correctional Facilities, and 1996 UFDS Survey.

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Overall, treatment in the general facility population was the predominant treatment setting for each facility type. About 94% of the Federal prisons provided general facility population treatment, and 82% of state prisons, 79% of jails, and 89% of juvenile facilities provided general facility population treatment either alone or in combination with other treatment settings.

IV.F. Individuals in Treatment

On the date of the survey, about 173,000 inmates/residents, or about 10.5% of the approximately 1,650,000 adults and juveniles in the facilities surveyed, were receiving treatment within the correctional facilities in which they resided (see Table 11). This estimate of the number of inmates in treatment at any given time in 1997 may underestimate the actual number because no adjustment has been made for the nearly 7% of facilities not included in the survey. Among the number in treatment, more than 12,500 inmates were receiving treatment in Federal prisons, about 99,000 inmates were receiving treatment in state prisons, about 34,000 inmates were receiving treatment in jails. Moreover, about 27,000 residents were receiving treatment in juvenile facilities in 1997. Of the total number of inmates/residents receiving treatment, about 70% were receiving treatment as part of a general facility population treatment program, about 28% were housed in a specialized treatment unit, and approximately 2% were receiving treatment in a hospital or psychiatric inpatient unit within the facility. A further breakdown of individuals in treatment by facility type and setting is presented in Table 11.

Table 11
Distribution of Individuals in Treatment in Correctional Facilities, by Facility Type

Treatment Setting	Number of Individuals					Percentage of Individuals				
	Total	Federal Prisons	State Prisons	Jails	Juvenile Facilities[1]	Total	Federal Prisons	State Prisons	Jails	Juvenile Facilities
Total, All Treatment Facilities	172,851	12,508	98,978	34,213	27,152	100.0%	100.0%	100.0%	100.0%	100.0%
Specialized Treatment Unit	48,743	5,744	30,697	7,221	5,081	28.2%	45.9%	31.0%	21.1%	18.7%
General Facility Population Treatment	120,568	6,693	66,119	25,981	21,775	69.8%	53.5%	66.8%	75.9%	80.2%
Hospital Psychiatric Treatment	3,540	71	2,162	1,011	296	2.0%	0.6%	2.2%	3.0%	1.1%

[1]The number of individuals in treatment in juvenile facilities includes both individuals under 18 years of age and individuals 18 years of age or older.

Sources: SAMHSA, Office of Applied Studies, Uniform Facility Data Set (UFDS) 1997 Survey of Correctional Facilities, and 1996 UFDS Survey

IV.G. Individuals Under 18 Years of Age

Overall, 22,716 inmates under 18 years of age were receiving substance abuse treatment within correctional facilities in 1997 (see Table 12). About 88% of the treated youths were receiving treatment in juvenile facilities, and the other 12% were in treatment in adult jails and

prisons. At least 75% of the youths in treatment were in a general facility population treatment setting, and at least 12% were in specialized treatment units. An additional 13% of the youths were in facilities with multiple treatment settings, where the number in each specific setting could not be identified. Table 12 provides a detailed description of the population under 18 years old in treatment in correctional facilities, broken down by facility type and treatment setting.

Table 12
Distribution of Individuals Under 18 Years of Age in Treatment in Correctional Facilities, by Treatment Setting and Facility Type

Treatment Setting	Number of Individuals < 18 Years of Age[1]				Percentage of Individuals < 18 Years of Age[1]			
	Total[2]	State Prisons	Jails	Juvenile Facilities	Total[2]	State Prisons	Jails	Juvenile Facilities
Total, All Treatment Facilities	22,716	1,213	1,563	19,940	100.0%	100.0%	100.0%	100.0%
Specialized Treatment Unit	2,649	376	112	2,161	11.7%	31.0%	7.2%	10.8%
General Facility Population Treatment	16,924	597	858	15,469	74.5%	49.2%	54.9%	77.6%
Hospital/Psychiatric Treatment	169	1	153	15	0.7%	0.1%	9.8%	0.1%
Facilities with Multiple Treatment Settings	2,974	239	440	2,295	13.1%	19.7%	28.2%	11.5%

Note: Percentages may not sum to 100 due to rounding.

[1] Does not include an estimated 2,200 juveniles under 18 years of age in facilities that could not provide their treatment counts by age.

[2] Federal prisons were omitted from this table because juveniles in the Federal Bureau of Prisons system are generally contracted out to juvenile facilities.

Sources: SAMHSA, Office of Applied Studies, Uniform Facility Data Set (UFDS) 1997 Survey of Correctional Facilities, and 1996 UFDS Survey.

IV.H. Counseling Services

The UFDS 1997 Survey of Correctional Facilities asked whether facilities provided individual counseling, group counseling, or family counseling to their inmates/residents in treatment for substance abuse problems. Of the 3,027 facilities providing substance abuse treatment, about 87% offered individual counseling to inmates/residents (see Table 13). About 83% provided group counseling, and 40% offered family counseling.

IV.I. Paid Treatment Staff

In addition to information about the types of available treatment, information about the number of paid treatment staff within each facility also was collected. Table 14 provides a detailed description of the ratio of inmates/residents in treatment to paid treatment staff, broken down by treatment setting and facility type. Juvenile facilities had the lowest patient-to-staff ratio (3:1) in all of the treatment settings. Federal prisons had the next lowest patient-to-staff ratio (7:1). Jails had a patient-to-staff ratio of 10:1, and state prisons had a patient-to-staff ratio of 25:1. The most common treatment setting was treatment in the general population, for which the patient-to-staff ratio was 7:1 for all facility types.

Table 13
Correctional Facilities with Treatment Providing Various Substance Abuse Counseling Services, by Facility Type

Type of Counseling	Treatment Facility Type				
	Total	Federal Prisons	State Prisons	Jails	Juvenile Facilities
Total, All Treatment Facilities	3,027	121	716	1,047	1,143
Individual Counseling	86.6%	99.2%	89.8%	76.9%	92.2%
Group Counseling	82.6%	99.2%	92.9%	64.4%	91.2%
Family Counseling	40.3%	11.6%	26.5%	18.6%	71.8%

Note: Percentages are based only on facilities reporting that they offered any substance abuse treatment. Percentages may total more than 100% because some facilities offered more than one type of counseling.

Sources: SAMHSA, Office of Applied Studies, Uniform Facility Data Set (UFDS) 1997 Survey of Correctional Facilities, and 1996 UFDS survey.

Table 14
Ratio of Patients to Paid Treatment Staff in Correctional Facilities, by Treatment Setting and Facility Type

Treatment Setting[1]	Patient-to-Treatment Staff Ratio				
	All Facilities	Federal Prisons	State Prisons	Jails	Juvenile Facilities
Total, All Treatment Facilities	9:1	7:1	25:1	10:1	3:1
Specialized Treatment Unit Only	12:1	14:1	20:1	7:1	3:1
General Facility Population Treatment Only	7:1	2:1	24:1	9:1	3:1
Hospital/Psychiatric Unit Only	5:1	N/A	10:1	2:1	2:1
Specialized Unit & General Facility Population Treatment	12:1	27:1	29:1	14:1	1:1
Specialized Unit & Hospital/ Psychiatric Unit	11:1	N/A	14:1	8:1	N/A
General Facility Population Treatment & Hospital/Psychiatric Unit	28:1	13:1	47:1	14:1	6:1
Combination of All Three Settings	15:1	30:1	24:1	15:1	4:1

Note: Calculations are based on the 2,131 facilities (70% of the total 3,027 facilities with treatment) that reported both patients in substance abuse treatment and paid treatment staff. These facilities included 88% of Federal prisons, 79% of state prisons, 55% of jails, and 77% of juvenile facilities. Facilities were excluded from this calculation if, on the survey date, there were no patients in treatment, there were no paid treatment staff, or the number of paid treatment staff was unknown.

N/A: Not applicable.

[1]Respondents were asked to report only total treatment staff, not staff within each treatment setting.

Sources: SAMHSA, Office of Applied Studies, Uniform Facility Data Set (UFDS) 1997 Survey of Correctional Facilities, and 1996 UFDS Survey.

V. Federal Prisons

There were 121 Federal prisons providing substance abuse treatment, with approximately 12,500 inmates receiving substance abuse treatment in Federal prisons at the time of the survey. This section provides information about the treatment and counseling services provided in Federal prisons.

V.A. Federal Prison Treatment Settings and Facility Size

A total of 121 Federal facilities provided some type of substance abuse treatment (see Table 9). Of these, 49 facilities (41%) provided treatment in specialized units, 114 facilities (94%) provided treatment within the general facility population, and 7 facilities (6%) provided treatment in a hospital or psychiatric unit. Some facilities provided treatment in more than one setting.

Table 15 presents the percentage of Federal prisons providing the various combinations of treatment settings by facility size. Of the 121 Federal prisons providing treatment, about 55% of facilities offered treatment to inmates in a general facility population setting alone, and approximately 33% offered treatment in both a general population setting and a specialized unit. Regardless of size, over 90% of the facilities provided treatment within the general facility population. In general, the larger the Federal prison, the more likely it was to provide treatment in a specialty unit or combination with other settings. Treatment in a hospital or psychiatric unit setting was uncommon.

V.B. Federal Prison Inmates in Treatment

Table 16 presents data on the number of individuals in treatment in Federal prisons in 1997. Of the 12,508 inmates receiving treatment in Federal prisons, 6,693 received treatment in programs for the general facility population, which were offered by 114 facilities. A total of 5,744 inmates were treated in specialized units, which were offered by 49 facilities. Thus, general population treatment settings had an average enrollment of about 59 inmates, while specialty units had an average enrollment of about 117 inmates. The majority of inmates in treatment in either the general population or specialty units were in the larger facilities (i.e., 500 to 999 inmates or 1,000 to 2,000 inmates).

The number of inmates receiving substance abuse treatment in a hospital/psychiatric unit within a Federal prison was small; only 71 inmates, less than 1%, received treatment in a hospital or psychiatric unit.

Table 16 also presents information about the number of inmates in treatment in Federal prisons relative to the size of the facility. Generally, there were more facilities providing treatment in the larger size facilities and consequently more individuals in treatment in those facility size groups.

Table 15
Federal Prisons Providing Substance Abuse Treatment in Various Settings, by Prison Size

Treatment Setting	All Facility Sizes (n=121)	Facility Size				
		< 250 (n=14)	250-499 (n=21)	500-999 (n=33)	1,000-2,000 (n=50)	> 2,000 (n=3)
Total, All Treatment Facilities	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%
Specialized Treatment Unit Only	5.8%	7.1%	4.8%	12.1%	2.0%	0.0%
General Facility Population Treatment Only	55.4%	71.4%	85.7%	48.5%	46.0%	0.0%
Hospital/Psychiatric Unit Only	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Specialized Unit & General Facility Population Treatment	33.1%	21.4%	9.5%	27.3%	46.0%	100.0%
Specialized Unit & Hospital/ Psychiatric Unit	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
General Facility Population Treatment & Hospital/Psychiatric Unit	4.1%	0.0%	0.0%	6.1%	6.0%	0.0%
Combination of All Three Settings	1.7%	0.0%	0.0%	6.1%	0.0%	0.0%

Note: Facility size is based on total inmate counts. Percentages may not sum to 100 due to rounding.

Sources: SAMHSA, Office of Applied Studies, Uniform Facility Data Set (UFDS) 1997 Survey of Correctional Facilities, and 1996 UFDS Survey.

V.C. Counseling Services in Federal Prisons

As shown in Table 17, individual and group counseling services were provided by nearly all Federal prisons offering substance abuse treatment. Family counseling was provided by a much smaller proportion of the facilities offering treatment (about 12% overall).

V.D. Paid Treatment Staff in Federal Prisons

Table 18 shows the number of staff directly involved in providing substance abuse treatment to inmates in Federal prisons. Although 12,508 inmates received treatment in Federal prisons at the time of the survey, only 11,302 received treatment in the 106 facilities that provided information about both the number of patients and the number of paid treatment staff members. Within these facilities, 1,515 paid staff members provided treatment, for an overall ratio of 7 patients to each paid staff member. In Federal facilities with only a specialized unit treatment setting, the patient-to-staff ratio is 14 patients to each paid counselor. For Federal facilities with only the general facility population treatment setting, the patient-to-staff ratio is 2:1. In facilities providing treatment in both a specialized unit and general population facility settings, the ratio of patients to staff is 27:1. In Federal prisons with treatment in both the general facility population and a hospital/psychiatric unit, the patient-to-staff ratio is 13:1. Finally, the patient-to-staff ratio in Federal facilities with all three settings is 30:1.

Table 16
Federal Prison Inmates in Substance Abuse Treatment, by Treatment Setting and Prison Size

Treatment Setting	Number of Inmates, by Facility Size						Percentage of Inmates, by Facility Size					
	Total	< 250	250-499	500-999	1,000-2,000	> 2,000	Total	< 250	250-499	500-999	1,000-2,000	> 2,000
Total, All Treatment Facilities	12,508	453	799	3,969	6,670	617	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%
Specialized Unit	5,744	191	121	1,927	3,038	467	45.9%	42.2%	15.1%	48.6%	45.5%	75.7%
General Facility Population	6,693	262	678	1,972	3,631	150	53.5%	57.8%	84.9%	49.7%	54.4%	24.3%
Hospital Psychiatric Unit	71	0	0	70	1	0	0.6%	0.0%	0.0%	1.8%	< 0.1%	0.0%

Note: Facility size is based on total inmate counts. Percentages may not sum to 100 due to rounding.

Sources: SAMHSA, Office of Applied Studies, Uniform Facility Data Set (UFDS) 1997 Survey of Correctional Facilities, and 1996 UFDS Survey.

Table 17
Proportion of Federal Prisons with Treatment Offering Each Type of Counseling, by Prison Size

Type of Counseling	All Facility Sizes	Facility Size				
		< 250	249-499	500-999	1,000-2,000	> 2,000
Total, All Treatment Facilities	121	14	21	33	50	3
Individual Counseling	99.2%	92.9%	100.0%	100.0%	100.0%	100.0%
Group Counseling	99.2%	100.0%	100.0%	97.0%	100.0%	100.0%
Family Counseling	11.6%	21.4%	4.8%	6.1%	16.0%	0.0%

Note: Facility size is based on total inmate counts. Calculations based only on Federal prisons providing substance abuse treatment.

Sources: SAMHSA, Office of Applied Studies, Uniform Facility Data Set (UFDS) 1997 Survey of Correctional Facilities, and 1996 UFDS Survey.

Table 18
Patient-to-Treatment Staff Ratios in Federal Prisons, by Treatment Setting

Treatment Setting[1]	Total Number of Facilities	Total Inmates in Treatment	Total Paid Treatment Staff	Patient-to-Staff Ratio
Total, All Treatment Facilities	106	11,302	1,515	7:1
Specialized Treatment Unit Only	7	641	47	14:1
General Facility Population Treatment Only	56	2,789	1,167	2:1
Hospital/Psychiatric Unit Only	0	0	0	N/A
Specialized Unit & General Facility Population Treatment	36	7,146	261	27:1
Specialized Unit & Hospital/Psychiatric Unit	0	0	0	N/A
General Facility Population Treatment & Hospital/Psychiatric Unit	5	366	28	13:1
Combination of All Three Settings	2	360	12	30:1

Note: Calculations are based on the 106 Federal prisons (88% of the 121 providing treatment) that provided substance abuse treatment and reported both patients in treatment and paid treatment staff. These 106 facilities treated 90% of the inmates in treatment in Federal prisons.

N/A: Not applicable.

Respondents were asked to report only total staff, not staff within each treatment setting.

Sources: SAMHSA, Office of Applied Studies, Uniform Facility Data Set (UFDS) 1997 Survey of Correctional Facilities, and 1996 UFDS Survey.

VI. State Prisons

There were 716 state prisons providing substance abuse treatment, with nearly 99,000 inmates receiving substance abuse treatment in state prisons at the time of the survey. This section provides information about the treatment and counseling services provided in state prisons.

VI.A. State Prison Treatment Settings and Facility Size

As noted earlier in Table 9, a total of 716 state prisons responding to the survey provided some form of on-site substance abuse treatment to inmates housed within their facilities. Of these, 236 facilities (33%) provided treatment in specialized units, 587 facilities (82%) provided treatment within the general facility population, and 41 facilities (6%) provided treatment in a hospital or psychiatric unit. Some facilities provided treatment in more than one setting. About 63% of the state prisons providing treatment did so in a general facility population setting only, while about 15% provided treatment in both a specialized unit and in a general population setting. Approximately 16% of the state prisons providing treatment had only a specialized treatment unit, and another 17% had specialty units in combination with another setting. Table 19 provides detailed information on the type of treatment provided in state prisons by facility size. Similar to Federal prisons, as state prison facility size increased, the likelihood that a facility provided specialty unit treatment also increased.

VI.B. State Prison Inmates in Treatment

Table 20 presents information about the number of individuals in treatment within state prisons responding to the survey. Of the nearly 99,000 inmates receiving substance abuse treatment in state prisons in 1997, about 67% received treatment in a general facility population setting. Another 31% received treatment in a specialized unit, and about 2% received treatment in a hospital/psychiatric unit.

Regardless of facility size, the most common setting was treatment in the general facility population setting; in every facility size, over half of the inmates receiving treatment were treated in the general facility population. The percentage of individuals receiving treatment in specialty treatment units ranged from about 17% in the largest facility size groups to 41% in the 500 to 999 inmate size facilities. Larger facilities (1,000 to 2,000 inmates) had the highest percentage of inmates treated within a hospital or psychiatric unit (about 4%).

The average number of individuals in treatment in state prison specialty units (about 130 inmates per facility) was slightly higher than the average number in treatment within the general facility population (about 113 inmates per facility).

Table 19
State Prisons Providing Substance Abuse Treatment in Various Settings, by Prison Size

Treatment Setting	All Facility Sizes (n=716)	Facility Size					
		< 250 (n=234)	250-499 (n=100)	500-999 (n=159)	1,000-2,000 (n=170)	> 2,000 (n=48)	Unknown Facility Size (n=5)
Total, All Treatment Facilities	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%
Specialized Treatment Unit Only	15.9%	8.1%	16.0%	20.1%	22.4%	16.7%	20.0%
General Facility Population Treatment Only	63.4%	82.9%	62.0%	49.1%	54.1%	50.0%	80.0%
Hospital/Psychiatric Unit Only	1.1%	0.0%	2.0%	0.6%	2.4%	2.1%	0.0%
Specialized Unit & General Facility Population Treatment	14.9%	7.3%	17.0%	22.0%	16.5%	20.8%	0.0%
Specialized Unit & Hospital/Psychiatric Unit	1.0%	0.0%	1.0%	1.9%	1.2%	2.1%	0.0%
General Facility Population Treatment & Hospital/ Psychiatric Unit	2.5%	1.3%	2.0%	4.4%	1.8%	6.3%	0.0%
Combination of All Three Settings	1.1%	0.4%	0.0%	1.9%	1.8%	2.1%	0.0%

Note: Facility size is based on total inmate counts. Percentages may not sum to 100 due to rounding.

Sources: SAMHSA, Office of Applied Studies, Uniform Facility Data Set (UFDS) 1997 Survey of Correctional Facilities, and 1996 UFDS Survey.

VI.C. Counseling Services in State Prisons

Table 21 displays information about counseling services in state prisons, stratified by prison size. Nearly 90% of state prisons offering treatment provided individual counseling, about 93% provided group counseling, and about 27% provided family counseling.

VI.D. Paid Treatment Staff in State Prisons

Table 22 presents information about the number of state prison inmates in treatment and the number of paid staff available to provide treatment to them. Although there were 98,978 inmates in state prisons receiving treatment at the time of the survey, only 81,329 received treatment in the 564 facilities that provided information about the number of patients and the number of paid treatment staff members. Within those facilities, 3,265 paid staff members provided treatment, for a patient-to-staff ratio of 25:1 overall. Table 22 shows the patient-to-staff ratios for each treatment setting. The highest ratio of patients to staff was 47:1 in the combination setting of general population treatment and hospital/psychiatric unit treatment. The lowest patient-to-staff ratio was 10:1 in the hospital/psychiatric unit setting.

Table 20
State Prison Inmates in Substance Abuse Treatment, by Treatment Setting and Prison Size

Treatment Setting	Number of Individuals, by Facility Size							Percentage of Individuals, by Facility Size						
	Total	< 250	250-499	500-999	1,000-2,000	> 2,000	Unknown Size	Total	< 250	250-499	500-999	1,000-2,000	> 2,000	Unknown Size
Total, All Treatment Facilities	98,978	11,227	12,968	24,760	30,221	19,774	28	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%
Specialized Unit	30,697	1,973	4,193	10,160	11,062	3,281	28	31.0%	17.6%	32.3%	41.0%	36.6%	16.6%	100.0%
General Facility Population	66,119	9,172	8,535	14,374	18,068	15,970	0	66.8%	81.7%	65.8%	58.1%	59.8%	80.8%	0.0%
Hospital Psychiatric Unit	2,162	82	240	226	1,091	523	0	2.2%	0.7%	1.9%	0.9%	3.6%	2.6%	0.0%

Note: Facility size is based on total inmate counts.

Sources: SAMHSA, Office of Applied Studies, Uniform Facility Data Set (UFDS) 1997 Survey of Correctional Facilities, and 1996 UFDS Survey.

Table 21
Proportion of State Prisons with Treatment Offering Each Type of Counseling, by Prison Size

Type of Counseling	All Facility Sizes	Facility Size					
		< 250	250-499	500-999	1,000-2,000	> 2,000	Missing Facility Size
Total, All Treatment Facilities	716	234	100	159	170	48	5
Individual Counseling	89.8%	91.0%	91.0%	89.9%	89.4%	81.3%	100.0%
Group Counseling	92.9%	91.5%	95.0%	93.1%	94.7%	87.5%	100.0%
Family Counseling	26.5%	33.3%	32.0%	20.8%	21.8%	20.8%	0.0%

Notes: Facility size is based on total inmate counts. Calculations are based only on state prisons providing substance abuse treatment.

Sources: SAMHSA, Office of Applied Studies, Uniform Facility Data Set (UFDS) 1997 Survey of Correctional Facilities, and 1996 UFDS Survey.

Table 22
Patient-to-Treatment Staff Ratios in State Prisons, by Treatment Setting

Treatment Setting[1]	Total Number of Facilities	Total Inmates in Treatment	Total Paid Treatment Staff	Patient-to-Staff Ratio
Total, All Treatment Facilities	564	81,329	3,265	25:1
Specialized Treatment Unit Only	77	14,629	730	20:1
General Facility Population Treatment Only	365	36,734	1,524	24:1
Hospital/Psychiatric Unit Only	6	660	65	10:1
Specialized Unit & General Facility Population Treatment	87	18,692	641	29:1
Specialized Unit & Hospital/Psychiatric Unit	6	987	70	14:1
General Facility Population Treatment & Hospital/Psychiatric Unit	16	8,106	172	47:1
Combination of All Three Settings	7	1,521	63	24:1

Note: Calculations are based on the 564 state prisons (79% of the 716 providing treatment) that provided substance abuse treatment and reported both patients in treatment and paid treatment staff. These 564 facilities treated 82% of the inmates in treatment in state prisons.

[1] Respondents were asked only to report total staff, not staff within each treatment setting.

Sources: SAMHSA, Office of Applied Studies, Uniform Facility Data Set (UFDS) 1997 Survey of Correctional Facilities, and 1996 UFDS Survey.

VII. Jails

There were 1,047 jails providing substance abuse treatment, with over 34,000 inmates receiving substance abuse treatment in jails at the time of the survey. This section provides information about the treatment and counseling services provided in jails.

VII.A. Jail Treatment Settings and Facility Size

As noted in Table 9, of the 3,067 jails that responded to the survey, 1,047 were providing substance abuse treatment to inmates housed within their facilities at the time of the survey. Of these, 324 facilities (31%) provided treatment in specialized units, 822 facilities (79%) provided treatment in the general facility population, and 80 facilities (8%) provided treatment in a hospital or psychiatric unit. Some facilities provided treatment in more than one setting. Table 23 shows that about two thirds of the jails were providing treatment to their inmates exclusively within a general facility population setting. About 18% of the jails providing treatment were providing it only in specialized units. Table 23 also provides detailed information about the number of jails providing treatment in each specific treatment setting or combination of settings by facility size. As the facility size increased, the likelihood of jails having treatment for the general facility population declined and the likelihood of having treatment in a specialty unit increased.

Table 23
Jails Providing Substance Abuse Treatment in Various Settings, by Jail Size

Treatment Setting	All Facility Sizes (n=1,047)	Facility Size					
		< 250 (n=732)	250-499 (n=152)	500-999 (n=91)	1,000-2,000 (n=47)	> 2,000 (n=19)	Unknown Facility Size (n=6)
Total, All Treatment Facilities	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%
Specialized Treatment Unit Only	18.2%	17.8%	14.5%	22.0%	23.4%	26.3%	50.0%
General Facility Population Treatment Only	64.6%	70.6%	64.5%	42.9%	31.9%	26.3%	33.3%
Hospital/Psychiatric Unit Only	1.9%	1.1%	2.6%	3.3%	4.3%	10.5%	16.7%
Specialized Unit & General Facility Population Treatment	9.6%	8.3%	9.9%	14.3%	14.9%	21.1%	0.0%
Specialized Unit & Hospital/ Psychiatric Unit	1.3%	0.6%	2.0%	2.2%	6.4%	10.5%	0.0%
General Facility Population Treatment & Hospital/Psychiatric Unit	2.6%	0.6%	4.0%	12.1%	12.8%	0.0%	0.0%
Combination of All Three Settings	1.8%	1.1%	2.6%	3.3%	6.4%	5.3%	0.0%

Note: Facility size is based on total inmate counts. Percentages may not sum to 100 due to rounding.

Sources: SAMHSA, Office of Applied Studies, Uniform Facility Data Set (UFDS) 1997 Survey of Correctional Facilities, and 1996 UFDS Survey.

VII.B. Jail Inmates in Treatment

As noted in Table 11, a total of 34,213 inmates were receiving treatment in the jails that responded to the UFDS 1997 Survey of Correctional Facilities. Approximately 76% of these inmates received treatment in a general facility population setting, about 21% received treatment in a specialized unit within the jails, and 3% received treatment in a hospital/psychiatric unit.

Table 24 presents data on jail inmates in treatment with respect to the size of the facility. The overall trend was slightly different from the trend found in Federal and state prisons. Although most jails were smaller than prisons, the individuals in treatment in jails were spread more evenly across the facility size groups. Only one fourth of individuals in treatment were in the small size group facilities. As facility size increased, the proportion of individuals in treatment in specialty units increased slightly, and the proportion in treatment in the general facility population declined.

The average size of the treatment units in jails was quite small—about 22 inmates per facility for specialty treatment units and 32 inmates per facility for treatment in the general facility population.

VII.C. Counseling Services in Jails

Table 25 displays information about counseling services in jails, stratified by jail size. Overall, 77% of jails with treatment provided individual counseling, 64% provided group counseling, and 19% provided family counseling. As shown in Table 25, the percentage of facilities providing individual or group counseling was generally higher in larger facilities.

VII.D. Paid Treatment Staff in Jails

Table 26 shows the number of paid staff members directly involved in providing treatment within jails, broken down by treatment setting. Of the 1,047 jails who participated in the survey, 581 provided information on the number of their inmates in treatment and paid treatment staff. Overall, there were 10 inmates to each paid staff member at the jails responding to the 1997 survey. The lowest ratio of inmates to staff was found in the hospital/psychiatric unit treatment setting, which had approximately two inmates to each staff member. The specialized unit treatment setting had a ratio of approximately seven inmates to each staff member. The most common treatment setting in jails, treatment in the general facility population, had a patient-to-staff ratio of 9:1.

Table 24
Jail Inmates in Substance Abuse Treatment, by Treatment Setting and Jail Size

Treatment Setting	Number of Individuals, by Facility Size							Percentage of Individuals, by Facility Size						
	Total	< 250	250-499	500-999	1,000-2,000	> 2,000	Unknown Size	Total	< 250	250-499	500-999	1,000-2,000	> 2,000	Unknown Size
Total, All Treatment Facilities	34,213	8,804	8,109	5,333	8,833	2,995	139	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%
Specialized Unit	7,221	1,209	1,348	1,397	1,996	1,136	135	21.1%	13.7%	16.6%	26.2%	22.6%	37.9%	97.1%
General Facility Population	25,981	7,416	6,613	3,705	6,616	1,631	0	75.9%	84.2%	81.6%	69.5%	74.9%	54.5%	0.0%
Hospital/Psychiatric Unit	1,011	179	148	231	221	228	4	3.0%	2.0%	1.8%	4.3%	2.5%	7.6%	2.9%

Note: Facility size is based on total inmate counts. Percentages may not sum to 100 due to rounding.

Sources: SAMHSA, Office of Applied Studies, Uniform Facility Data Set (UFDS) 1997 Survey of Correctional Facilities, and 1996 UFDS Survey.

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Table 25
Proportion of Jails with Treatment Offering Each Type of Counseling, by Jail Size

Type of Counseling	All Facility Sizes	Facility Size					
		< 250	250-499	500-999	1,000-2,000	> 2,000	Missing Facility Size
Total, All Treatment Facilities	1,047	732	152	91	47	19	6
Individual Counseling	76.9%	75.4%	77.0%	81.3%	87.2%	84.2%	83.3%
Group Counseling	64.4%	58.2%	75.7%	80.2%	87.2%	73.7%	83.3%
Family Counseling	18.6%	18.2%	19.1%	18.7%	17.0%	36.8%	16.7%

Notes: Facility size is based on total inmate counts. Calculations are based only on jails providing substance abuse treatment.

Sources: SAMHSA, Office of Applied Studies, Uniform Facility Data Set (UFDS) 1997 Survey of Correctional Facilities, and 1996 UFDS Survey.

Table 26
Patient-to-Treatment Staff Ratios in Jails, by Treatment Setting

Treatment Setting[1]	Total Number of Facilities	Total Inmates in Treatment	Total Paid Treatment Staff	Patient-to-Staff Ratio
Total, All Treatment Facilities	581	27,389	2,826	10:1
Specialized Treatment Unit Only	71	2,960	419	7:1
General Facility Population Treatment Only	387	14,061	1,564	9:1
Hospital/Psychiatric Unit Only	10	148	80	2:1
Specialized Unit & General Facility Population Treatment	64	5,397	381	14:1
Specialized Unit & Hospital/Psychiatric Unit	12	938	113	8:1
General Facility Population Treatment & Hospital/Psychiatric Unit	23	2,151	151	14:1
Combination of All Three Settings	14	1,734	118	15:1

Note: Calculations are based on the 581 jails (55% of the 1,047 providing treatment) that provided substance abuse treatment and reported both patients in treatment and paid treatment staff. These 581 facilities treated 80% of the inmates in treatment in jails.

[1] Respondents were asked to only report total staff, not staff within each treatment setting.

Sources: SAMHSA, Office of Applied Studies, Uniform Facility Data Set (UFDS) 1997 Survey of Correctional Facilities, and 1996 UFDS Survey.

VIII. Juvenile Facilities

There were 1,143 juvenile facilities providing substance abuse treatment, with over 27,000 residents receiving substance abuse treatment in juvenile facilities at the time of the survey. This section provides information about the treatment and counseling services provided to individuals of all ages in juvenile facilities.

VIII.A. Juvenile Facility Treatment Settings and Facility Size

At the time of the survey, 1,143 juvenile facilities provided substance abuse treatment (see Table 9). Of these, 187 facilities (16%) provided treatment in specialized units, 1,015 facilities (89%) provided treatment in the general facility population, and 24 facilities (2%) provided treatment in a hospital or psychiatric unit. Some facilities provided treatment in more than one setting. As noted in Table 27, about 82% of the 1,143 juvenile facilities provided treatment in a general facility population setting alone. Approximately 11% of the juvenile facilities with treatment programs were providing it in specialized units alone. Because juvenile facilities are frequently small group homes, halfway houses and detention facilities, those providing substance abuse treatment were small (53% were in the < 25 resident size group).

Table 27
Juvenile Facilities Providing Substance Abuse Treatment in Various Settings, by Facility Size

Treatment Setting	All Facility Sizes (n=1,143)	Facility Size					
		< 25 (n=611)	25-49 (n=215)	50-99 (n=156)	100-249 (n=105)	250+ (n=39)	Unknown Facility Size (n=17)
Total, All Treatment Facilities	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%
Specialized Treatment Unit Only	10.7%	8.5%	7.4%	8.3%	17.1%	35.9%	52.9%
General Facility Population Treatment Only	82.2%	86.5%	85.6%	80.1%	75.2%	38.5%	41.2%
Hospital Psychiatric Unit Only	0.3%	0.4%	0.5%	1.3%	0.0%	0.0%	0.0%
Specialized Unit & General Facility Population Treatment	5.0%	3.1%	5.1%	9.0%	3.8%	20.5%	5.9%
Specialized Unit & Hospital Psychiatric Unit	0.2%	0.3%	0.0%	0.0%	0.0%	0.0%	0.0%
General Facility Population Treatment & Hospital Psychiatric Unit	1.0%	0.7%	0.9%	1.3%	2.9%	2.6%	0.0%
Combination of All Three Settings	0.5%	0.6%	0.5%	0.0%	1.0%	2.6%	0.0%

Note: Facility size is based on total resident counts. Percentages may not sum to 100 due to rounding.

Sources: SAMHSA, Office of Applied Studies, Uniform Facility Data Set (UFDS) 1997 Survey of Correctional Facilities, and 1996 UFDS Survey.

VIII.B. Juvenile Facility Residents in Treatment

Table 28 presents information about the number of individuals in treatment within juvenile facilities. About 80% of the 27,152 residents in juvenile facilities receiving substance abuse treatment received their treatment in a general facility population setting, about 19% received treatment in specialized units, and about 1% received treatment in a hospital/psychiatric unit.

Table 28 also presents information about the number of individuals in treatment with respect to the size of the facility. About one fourth of juveniles were treated in facilities with fewer than 25 residents, and about another fourth were treated in facilities with 100 to 249 residents. Another 15% were treated in juvenile facilities with 250 or more residents.

VIII.C. Counseling Services in Juvenile Facilities

Table 29 presents data on the types of counseling services provided to residents within the juvenile facilities responding to the survey. About 92% of juvenile facilities with treatment provided individual counseling, and 91% provided group counseling. Over 70% of juvenile facilities with treatment provided family counseling.

VIII.D. Paid Treatment Staff in Juvenile Facilities

Table 30 displays information about the number of paid treatment staff at the facilities and the number of residents receiving treatment. Generally, patient-to-treatment staff ratios were quite low in juvenile correctional facilities, ranging from 1:1 in facilities offering treatment in both specialized units and in the general population to 6:1 in facilities offering treatment in both the general population and in a hospital or psychiatric unit setting.

Table 28
Juvenile Facility Residents in Substance Abuse Treatment, by Treatment Setting and Facility Size

Treatment Setting	Number of Individuals, by Facility Size							Percentage of Individuals, by Facility Size						
	Total	< 25	25-49	50-99	100-249	250+	Unknown Size	Total	< 25	25-49	50-99	100-249	250+	Unknown Size
Total, All Treatment Facilities	27,152	6,597	4,724	4,666	6,954	3,951	260	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%
Specialized Unit	5,081	1,213	702	436	1,019	1,481	230	18.7%	18.4%	14.9%	9.3%	14.7%	37.5%	88.5%
General Facility Population	21,775	5,273	3,986	4,151	5,890	2,445	30	80.2%	79.9%	84.4%	89.0%	84.7%	61.9%	11.5%
Hospital Psychiatric Unit	296	111	36	79	45	25	0	1.1%	1.7%	0.8%	1.7%	0.6%	0.6%	0.0%

Note: Facility size is based on total resident counts. Percentages may not sum to 100 due to rounding.

Sources: SAMHSA, Office of Applied Studies, Uniform Facility Data Set (UFDS) 1997 Survey of Correctional Facilities, and 1996 UFDS Survey.

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Table 29
Proportion of Juvenile Facilities with Treatment Offering Each Type of Counseling, by Facility Size

Type of Counseling	All Facility Sizes	Facility Size					
		< 25	25-49	50-99	100-249	250+	Missing Facility Size
Total, All Treatment Facilities	1,143	611	215	156	105	39	17
Individual Counseling	92.2%	92.0%	92.6%	94.9%	94.3%	84.6%	76.5%
Group Counseling	91.2%	90.2%	92.1%	93.0%	93.3%	89.7%	88.2%
Family Counseling	71.8%	76.8%	67.4%	66.0%	64.8%	56.4%	82.4%

Notes: Facility size is based on total resident counts. Calculations are based only on juvenile facilities offering substance abuse treatment.

Sources: SAMHSA, Office of Applied Studies, Uniform Facility Data Set (UFDS) 1997 Survey of Correctional Facilities, and, 1996 UFDS Survey.

Table 30
Patient-to-Treatment Staff Ratios in Juvenile Facilities, by Treatment Setting

Treatment Setting[1]	Total Number of Facilities	Total Residents in Treatment	Total Paid Treatment Staff	Patient-to-Staff Ratio
Total, All Treatment Facilities	880	20,142	7,421	3:1
Specialized Treatment Unit Only	43	1,203	418	3:1
General Facility Population Treatment Only	790	16,841	5,472	3:1
Hospital/Psychiatric Unit Only	3	90	50	2:1
Specialized Unit & General Facility Population Treatment	31	1,541	1,382	1:1
Specialized Unit & Hospital/Psychiatric Unit	0	0	0	N/A
General Facility Population Treatment & Hospital/Psychiatric Unit	10	269	44	6:1
Combination of All Three Settings	3	198	55	4:1

Note: Calculations are based on the 880 juvenile facilities (77% of the 1,143 providing treatment) that provided substance abuse treatment and reported both patients in treatment and paid treatment staff. These 880 facilities treated 74% of the residents in treatment in juvenile facilities.

N/A: Not applicable.

[1]Respondents were asked to only report total staff, not staff within each treatment setting.

Sources: SAMHSA, Office of Applied Studies, Uniform Facility Data Set (UFDS) 1997 Survey of Correctional Facilities, and 1996 UFDS Survey.

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Appendix A

Correctional Facilities Providing Substance Abuse Treatment, by Facility Type and State

Appendix A: Correctional Facilities Providing Substance Abuse Treatment, by Facility Type and State

State	All Facilities		Federal Prisons		State Prisons		Jails		Juvenile Facilities	
	Number of Responding Facilities	Percent Providing Treatment	Number of Responding Facilities	Percent Providing Treatment	Number of Responding Facilities	Percent Providing Treatment	Number of Responding Facilities	Percent Providing Treatment	Number of Responding Facilities	Percent Providing Treatment
All States	7,564	40.0%	129	93.8%	1,187	60.3%	3,121	33.5%	3,127	36.6%
Alabama	206	29.6%	3	100.0%	31	74.2%	117	19.7%	55	21.8%
Alaska	53	43.4%	0	0.0%	17	70.6%	5	0.0%	31	35.5%
Arizona	137	38.0%	4	100.0%	20	60.0%	31	41.9%	82	28.0%
Arkansas	134	20.1%	0	0.0%	14	85.7%	79	10.1%	41	17.1%
California	499	48.1%	10	100.0%	77	29.9%	115	56.5%	297	47.8%
Colorado	120	49.2%	6	66.7%	19	78.9%	58	29.3%	37	62.2%
Connecticut	65	52.3%	2	100.0%	21	90.5%	0	0.0%	42	31.0%
Delaware	14	71.4%	0	0.0%	8	100.0%	0	0.0%	6	33.3%
District of Columbia	22	27.3%	0	0.0%	6	33.3%	0	0.0%	16	25.0%
Florida	299	52.8%	10	100.0%	75	70.7%	93	38.7%	121	48.8%
Georgia	299	25.4%	4	100.0%	41	43.9%	184	21.2%	70	21.4%
Hawaii	11	36.4%	0	0.0%	3	66.7%	0	0.0%	8	25.0%
Idaho	52	32.7%	0	0.0%	10	60.0%	38	26.3%	4	25.0%
Illinois	177	40.1%	7	100.0%	38	57.9%	91	30.8%	41	34.1%
Indiana	218	40.4%	2	50.0%	21	90.5%	87	34.5%	108	35.2%
Iowa	218	28.4%	0	0.0%	24	66.7%	90	13.3%	104	32.7%
Kansas	170	25.3%	2	50.0%	7	85.7%	92	20.7%	69	24.6%
Kentucky	167	43.7%	6	100.0%	20	50.0%	74	37.8%	67	43.3%
Louisiana	171	39.2%	2	100.0%	17	64.7%	93	30.1%	59	44.1%
Maine	46	47.8%	0	0.0%	5	60.0%	15	86.7%	26	23.1%
Maryland	119	48.7%	2	100.0%	23	56.5%	31	77.4%	63	30.2%
Massachusetts	109	55.0%	0	0.0%	17	41.2%	18	88.9%	74	50.0%
Michigan	246	49.2%	1	100.0%	68	58.8%	84	54.8%	93	36.6%
Minnesota	176	24.4%	4	100.0%	7	57.1%	72	23.6%	93	19.4%
Mississippi	125	16.0%	0	0.0%	20	30.0%	90	13.3%	15	13.3%
Missouri	206	27.7%	1	100.0%	19	68.4%	124	12.1%	62	45.2%

See notes at end of table.

(continued)

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Appendix A (continued)

State	All Facilities		Federal Prisons		State Prisons		Jails		Juvenile Facilities	
	Number of Responding Facilities	Percent Providing Treatment	Number of Responding Facilities	Percent Providing Treatment	Number of Responding Facilities	Percent Providing Treatment	Number of Responding Facilities	Percent Providing Treatment	Number of Responding Facilities	Percent Providing Treatment
Montana	73	23.3%	0	0.0%	5	100.0%	43	14.0%	25	24.0%
Nebraska	96	30.2%	0	0.0%	7	57.1%	63	27.0%	26	30.8%
Nevada	59	35.6%	2	0.0%	16	31.3%	19	36.8%	22	40.9%
New Hampshire	22	68.2%	0	0.0%	5	60.0%	11	90.9%	6	33.3%
New Jersey	105	46.7%	4	100.0%	19	63.2%	21	61.9%	61	32.8%
New Mexico	71	54.9%	2	100.0%	8	87.5%	33	45.5%	28	53.6%
New York	317	48.6%	4	100.0%	65	70.8%	72	63.9%	176	33.0%
North Carolina	252	31.3%	4	100.0%	85	41.2%	100	23.0%	63	27.0%
North Dakota	41	41.5%	0	0.0%	1	100.0%	23	39.1%	17	41.2%
Ohio	287	44.6%	0	0.0%	29	89.7%	115	44.3%	143	35.7%
Oklahoma	211	28.0%	3	100.0%	36	41.7%	97	14.4%	75	36.0%
Oregon	96	52.1%	2	100.0%	8	75.0%	39	51.3%	47	46.8%
Pennsylvania	284	53.9%	13	92.3%	39	74.4%	69	69.6%	163	39.3%
Rhode Island	14	50.0%	0	0.0%	7	57.1%	0	0.0%	7	42.9%
South Carolina	108	38.0%	2	100.0%	27	40.7%	52	26.9%	27	51.9%
South Dakota	50	30.0%	1	100.0%	2	100.0%	28	7.1%	19	52.6%
Tennessee	195	35.4%	3	100.0%	18	55.6%	109	33.0%	65	30.8%
Texas	473	41.6%	15	93.3%	69	63.8%	260	36.5%	129	34.1%
Utah	77	46.8%	0	0.0%	5	60.0%	25	44.0%	47	46.8%
Vermont	15	60.0%	0	0.0%	7	57.1%	0	0.0%	8	62.5%
Virginia	224	50.0%	2	100.0%	48	62.5%	90	65.6%	84	25.0%
Washington	124	55.6%	0	0.0%	20	95.0%	55	34.5%	49	63.3%
West Virginia	68	32.4%	4	100.0%	8	87.5%	24	16.7%	32	21.9%
Wisconsin	193	36.3%	2	100.0%	21	47.6%	71	35.2%	99	33.3%
Wyoming	50	36.0%	0	0.0%	4	75.0%	21	19.0%	25	44.0%

Note: Of the 7,243 correctional facilities responding to the 1997 UFDS Correctional Facilities Survey, 2,731 correctional facilities provided treatment. Of the 321 correctional facilities responding to the 1996 UFDS survey, 296 correctional facilities provided treatment.

Sources: SAMHSA, Office of Applied Studies, Uniform Facility Data Set (UFDS) 1997 Survey of Correctional Facilities, and 1996 UFDS Survey.

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Appendix B

UFDS 1997 Survey of Correctional Facilities Instrument

U.S. Department of Health and Human Services
Substance Abuse and Mental Health Services Administration

FORM APPROVED
OMB No. 0930-0106
Approval Expires: 8/31/99

Uniform Facility Data Set (UFDS)
1997 Survey of Correctional Facilities

NOTIFICATION TO RESPONDENT OF ESTIMATED BURDEN

Public burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate, or any other aspect of this collection of information, including suggestions for reducing this burden to: DHHS Reports Clearance Officer, Paperwork Reduction Project (0930-0106), Room 531-H, Humphrey Building, 200 Independence Avenue, SW, Washington, DC 20201. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. The OMB number for this project is 0930-0106.

Dear Participant:

Thank you in advance for your participation in this extremely important project for the Federal Government's Substance Abuse and Mental Health Services Administration, called SAMHSA. SAMHSA maintains a national list of substance abuse treatment facilities, and is currently trying to make this list more complete by adding any correctional facilities that provide substance abuse treatment. We would like to ask you a few questions about your facility at this time.

If you have any questions, or would prefer to complete the survey by telephone, please do not hesitate to contact us at 800-264-3758.

UPON COMPLETION OF THIS SURVEY, PLEASE FAX THE COMPLETED SURVEY TO THE FOLLOWING ADDRESS:

MACRO INTERNATIONAL INC.
PROJECT SAMHSA
Facsimile Number: (802) 863-8974

SECTION 1 - GENERAL INFORMATION

IMPORTANT: PLEASE RECORD THE REFERENCE NUMBER SHOWN ON THE COVER SHEET OF THIS FACSIMILE. WE CANNOT PROCESS YOUR INFORMATION WITHOUT THIS REFERENCE NUMBER.

Reference Number (from fax cover sheet): _____

1. What is the full legal name of your facility?

   _____

   If your facility name is not the same as the name shown on the fax cover sheet, was your facility's name EVER the same as what is shown on the cover sheet? **[ ] Yes** **[ ] No**

2. What is the physical address of your facility?

   _____
   Street Address

   _____
   City State Zip Code County

   If your facility's physical address is not the same as shown on the fax cover sheet, was your facility ever located at the address shown on the cover sheet? **[ ] Yes** **[ ] No**

3. What is the mailing address of your facility?

   _____

   _____

4. Is the number of inmates/residents/detainees shown on the cover sheet the correct number currently residing in your facility? If it is incorrect, or if there is no number shown, please record the number of inmates/residents/detainees currently residing in your facility. **[ ] Yes** **[ ] No** Record correct number here _____

SECTION 2 - TESTING

5. Are inmates/residents/detainees routinely assessed upon entry into the facility to determine whether they have a substance abuse problem and are in need of treatment?
   [ ] Yes [ ] No

6. At any time in the past 12 months, were urinalysis tests for drug use conducted for inmates/residents/detainees?
   [ ] Yes [ ] No ☞ If no, please skip to Section 3.

7. For each of the following, please indicate if urinalysis tests for drug use were conducted at any time during the past 12 months on inmates/residents/detainees held in this facility. At any time in the past 12 months, were urinalysis tests conducted...

a.	at admission?	**[ ] Yes**	**[ ] No**
b.	for ALL inmates/residents/detainees at least once during incarceration/detainment?	**[ ] Yes**	**[ ] No**
c.	for some, but not ALL, inmates/residents/detainees at least once during incarceration/detainment?	**[ ] Yes**	**[ ] No**
d.	by random selection?	**[ ] Yes**	**[ ] No**
e.	upon reasonable suspicion of drug use?	**[ ] Yes**	**[ ] No**
f.	at release?	**[ ] Yes**	**[ ] No**
g.	for any other reason related to drug detection? (if yes, please specify below)	**[ ] Yes**	**[ ] No**

_____

SECTION 3 - SUBSTANCE ABUSE EDUCATION

8. Does your facility **CURRENTLY** provide drug or alcohol education or awareness training to ANY of its inmates/residents/detainees? Please do not include Alcoholics Anonymous (AA), Narcotics Anonymous (NA), or other self help groups when answering this question.
   [ ] Yes [ ] No

9. Does your facility currently detoxify ANY of its inmates/residents/detainees from alcohol or drugs?
   [ ] Yes [ ] No

10. Does your facility currently provide Alcoholics Anonymous (AA), Narcotics Anonymous (NA), or other self help groups focused on substance abuse to its inmates/residents/detainees?
    [ ] Yes [ ] No

For the rest of this survey, please consider **substance abuse treatment** to include services that focus on initiating and maintaining an individual's recovery from alcohol or drug abuse and on averting relapse, including detoxification, group or individual counseling, rehabilitation, and methadone or other pharmaceutical treatment. *Please do NOT include drug or alcohol education or self-help groups, such as AA and NA, as substance abuse treatment.*

11. Does your facility currently provide substance abuse treatment to its inmates/residents/detainees living in the facility?
    [ ] Yes [ ] No

IF YOU ANSWERED "NO" TO QUESTIONS 9 AND 11, PLEASE SKIP TO QUESTION 35.

12. Is ANY of that substance abuse treatment or detoxification provided <u>on site</u>, in other words, within some part of your facility at the address recorded in Question 2?

[ ] Yes [ ] No

↘ If yes, what is the name of that program? [If program doesn't have a name, please write "None."]

_____

13. Is ANY of that substance abuse treatment or detoxification provided within some part of this facility, but has an address other than the address recorded in Question 2?

[ ] Yes [ ] No

↘ **If yes, what is the name of that program**? [If program doesn't have a name, please write "None."]

_____

What is the address of that program?

_____

Street Address

_____

City State Zip Code County

What is the telephone number for that program? _____

IF YOU DON'T KNOW THE ANSWER TO QUESTIONS 11, 12 OR 13, PLEASE FORWARD THIS SURVEY TO AN INDIVIDUAL WHO CAN ANSWER THESE QUESTIONS.

14. Is there a place outside of the facility complex where substance abuse treatment or detoxification is provided to your inmates/residents/detainees? Off-site refers to a place that is part of SOME OTHER ORGANIZATION and is not located at your address.

[ ] Yes [ ] No

↘ **If yes, what is the name of that program**? [If program doesn't have a name, please write "None."]

_____

What is the address of that program?

_____

Street Address

_____

City State Zip Code County

What is the telephone number for that program? _____

SECTION 4 - OWNERSHIP

The next questions ask about whether your facility is **OWNED** by the government or by a private organization and then, separately, about whether the substance abuse treatment program within the facility is **OPERATED** by the government or by a private organization.

15. Is your facility OWNED by the government or by a private organization?
    [ ] Government
    [ ] Private organization
    [ ] Something else -- please specify: _____

If your organization is OWNED by the government, please answer Question 16, otherwise skip to Question 17.

16. Which of the following governments is your facility OWNED by?
    [ ] Local government
    [ ] State government
    [ ] A combination of state and local government
    [ ] Federal government
    [ ] Tribal government
    [ ] Something else -- please specify: _____

If your organization is OWNED by a private organization, please answer Question 17, otherwise skip to Question 18.

17. Is the private organization that OWNS the facility a for-profit or a non-profit organization?
    [ ] For-profit
    [ ] Non-profit/ not-for-profit
    [ ] Both for-profit and not-for-profit

18. This next set of questions asks about the organization that OPERATES the substance abuse treatment program(s) offered at your facility.

    Which of the following organizations OPERATES the substance abuse treatment provided on-site for inmates/ residents/detainees at your facility?
    [ ] the government
    [ ] a private organization(s)

If the substance abuse treatment provided on-site at your facility is OPERATED by the government, please answer Question 19, otherwise skip to Question 20.

19. Which of the following governments OPERATES the substance abuse treatment provided on-site at your facility?
    [ ] Local government
    [ ] State government
    [ ] A combination of state and local government
    [ ] Federal government
    [ ] Tribal government
    [ ] Something else -- please specify: _____

If the substance abuse treatment provided on-site at your facility is OPERATED by a private organization, please answer Question 20, otherwise skip to Section 5.

20. Is the private organization that OPERATES the substance abuse treatment provided on-site at your facility a for-profit or a non-profit organization?
    [ ] For-profit
    [ ] Non-profit/ not-for-profit

SECTION 5 - SETTINGS

This set of questions asks about three settings in which substance abuse treatment might be provided. Please try to fit your substance abuse treatment program into one of these three categories:

- a separate, specialized substance abuse treatment unit;
- treatment for the general population of the facility; and
- treatment in your own hospital or psychiatric unit.

21. Does your facility have one or more specialized substance abuse treatment units? For this study, please consider a specialized substance abuse treatment unit one in which the inmates/residents/detainees who live in such a unit are separated from the rest of the facility population for sleeping. They may or may not be separated in terms of other activities, such as education, recreation, or meals. Do NOT include hospital or psychiatric units here.

[ ] Yes [ ] No

↘ If yes, how many beds are there in the separate substance abuse treatment unit or units? Please count both occupied beds and unoccupied beds. If you are unsure of the exact number, please provide an estimate.

_____

Currently, how many inmates/residents/detainees are actually living in this separate substance abuse treatment unit or units and receiving treatment? If you are unsure, please provide an estimate.

_____

22. Excluding those individuals in the specialized unit, does your facility provide substance abuse treatment for the general inmates/residents/detainees population? In other words, we're asking about treatment for inmates/residents/detainees not living in the separate substance abuse treatment unit(s).

[ ] Yes [ ] No

↘ If yes, thinking about only the general population of the facility, not anyone in any specialized substance abuse units, approximately how many of this facility's inmates/residents/detainees are **CURRENTLY** involved in substance abuse treatment at this site? In this category, please also include any individuals who are receiving **out-patient** substance abuse treatment in a hospital and/or psychiatric unit(s). Do not count those who are ONLY involved in AA or NA. If you are unsure of the exact number, please provide an estimate.

_____

23. Does your facility contain a hospital, a psychiatric unit, both a hospital AND psychiatric unit, or neither?

[ ] A Hospital
[ ] A Psychiatric Unit
[ ] Both a hospital AND a psychiatric unit
[ ] Neither a hospital NOR a psychiatric unit ☞ Please skip to Section 6.

24. If your facility contains a hospital, does the hospital provide substance abuse treatment? [Do not include substance abuse treatment that occurs in specialized substance abuse treatment units outside the hospital.]

[ ] Yes [ ] No

25. If your facility contains a psychiatric unit, does the psychiatric unit provide substance abuse treatment? [Do not include substance abuse treatment that occurs in specialized substance abuse treatment units outside the psychiatric unit.]

[ ] Yes [ ] No

IF YOU ANSWERED "NO" TO QUESTION 24 AND QUESTION 25, PLEASE SKIP TO SECTION 6.

26. **Currently**, how many inmates/residents/detainees are receiving **in-patient** substance abuse treatment in total in the hospital and the psychiatric unit(s) within your facility? [Do not include substance abuse treatment that occurs in specialized substance abuse treatment units outside the hospital or psychiatric units.]
If you are unsure of the exact number, please provide an estimate. _____

SECTION 6 - SERVICES

27. How many of the inmates/residents/detainees in substance abuse treatment are under the age of 18? _____

28. For each of the types of counseling services listed below, please indicate whether or not the service is offered to anyone at ANY of the on-site substance abuse treatment programs at your facility. (If your facility usually offers the service, but it isn't being offered at present, please record "yes.")

A. Group counseling?	[ ] Yes	[ ] No
B. Individual counseling?	[ ] Yes	[ ] No
C. Family counseling?	[ ] Yes	[ ] No
D. Any other types of counseling, excluding AA (Alcoholics Anonymous) and NA (Narcotics Anonymous)?	[ ] Yes	[ ] No

IF YOU ANSWERED "NO" TO ALL COUNSELING TYPES LISTED IN QUESTION 28, PLEASE SKIP TO QUESTION 34.

29. Are any of the substance abuse counseling sessions conducted by counselors or other staff who work in the facility?
[ ] Yes [ ] No

30. Are any of the substance abuse counseling sessions conducted by counselors or other staff who come in from outside the facility?
[ ] Yes [ ] No

31. How many people are directly involved in providing substance abuse treatment? Please include PAID facility staff or staff contracted by the facility, but not volunteers or group participants.

Total Number of paid or contract staff: _____

☞ If there are none, please skip to Question 38.

Please indicate how many of these staff members are in each of the following categories, as well as how many combined hours in a typical week each category provides substance abuse treatment (S/A TRT). Please include PAID facility staff and contract staff, but not volunteers or group counseling participants.

	# of staff directly involved in S/A TRT	combined weekly hours spent providing S/A TRT
A. Physicians [such as MD's, DO's, or psychiatrists]?	_____	_____
B. Psychologists or other Ph.D. level staff?	_____	_____
C. Master's or Bachelor's level staff?	_____	_____
D. Other PAID staff	_____	_____

PLEASE BE SURE THE TOTAL NUMBER OF STAFF BY CATEGORY IS EQUAL TO THE TOTAL NUMBER RECORDED ABOVE IN THIS QUESTION.

32. Are any of the substance abuse counseling sessions conducted by ...

A. volunteers from inside the facility?	[ ] Yes	[ ] No
B. volunteers from outside the facility?	[ ] Yes	[ ] No
C. inmates/residents/detainees who are members of the group?	[ ] Yes	[ ] No

IF YOU ANSWERED "NO" TO A AND B, PLEASE SKIP TO QUESTION 34

33. Excluding individuals who ONLY conduct AA or NA sessions, how many volunteers are providing substance abuse treatment?

_____

34. Is there a PAID staff person in charge of the substance abuse treatment services, on either a full-time or part-time basis?
[ ] Yes [ ] No

↘ If no, does someone on staff direct or lead the substance abuse treatment services on a volunteer, unpaid basis? **[ ] Yes [ ] No** ☞ If no, please skip to Question 35.

What is the name, title, and telephone number of the PAID staff person or volunteer who is in charge of or directs the substance abuse treatment services?

Name: _____

Title: _____

Telephone number: _____

35. Would you like to receive a complimentary copy of the report on substance abuse treatment programs in US correctional facilities when it is completed? The report will be available in approximately 6 months.
[ ] Yes [ ] No

Thank you for your time and assistance. Your input in greatly appreciated and will help ensure the success of this survey. For confirmation purposes, please indicate your name, title, and telephone number below.

Name: _____

Title: _____

Telephone number: _____

Once again, thank you very much for your time and cooperation. Your input is extremely valuable to us.

Appendix C

Sample Correspondence to Facility Administrators

DEPARTMENT OF HEALTH & HUMAN SERVICES

Public Health Service

Substance Abuse and Mental
Health Services Administration
Rockville, MD 20857

Dear Prison Director:

We are writing to request your participation in a study on **substance abuse treatment in correctional settings** being conducted by the Substance Abuse and Mental Health Services Administration (SAMHSA), at the request of the Office of National Drug Control Policy.

Currently, SAMHSA conducts an annual survey of substance abuse treatment facilities identified by state substance abuse agencies. However, since that survey generally under-represents treatment programs in jails and prisons, little information is available nationally about treatment services in correctional settings. Therefore, SAMHSA and the Department of Justice have undertaken this joint effort to collect national data. Please note that this survey is not repetitive of the specialized study on residential grant programs being conducted by the Office of Corrections Programs within the Department of Justice. The Department of Health and Human Services telephone survey serves a different purpose, i.e., to enumerate all treatment programs nationwide in adult and juvenile correctional settings. We encourage you to support both efforts.

You will be receiving a telephone call within the next two weeks to ascertain whether your facility provides substance abuse treatment within the institution, and, if so, to follow with a series of questions on the approximate number of inmates in treatment in special units or in the general facility population, and the number of staff involved in treatment. *Even if you do not provide formal substance abuse treatment, there are a few questions we would like to ask you about drug testing and drug awareness programs within your facility.* The call will take about 15 minutes for facilities providing treatment and under five minutes for the others.

Instructions for the Survey

- Someone from MACRO International, SAMHSA's contractor for this project, will be calling within two weeks to conduct this brief survey interview. **If the respondent will be someone other than yourself, please designate and inform that person to expect the call from MACRO**. Additionally, please alert your staff to direct MACRO's call to the respondent you designate. Please note that no data on individuals will be requested.

- If you would prefer to initiate the interview rather than wait for a call from a MACRO interviewer, or if you have any questions regarding this survey, please feel free to contact MACRO toll-free at **(800) 264-3758**.

Thank you in advance for your cooperation in this important national study. We will send each of you who participate a copy of the final survey report.

Sincerely,

Larry R. Meachum, Director
Corrections Program Office
Office of Justice Programs
U.S. Department of Justice
633 Indiana Avenue, N.W.
Washington, DC 20531

Sincerely,

Donald Goldstone, M.D.
Director, Office of Applied Studies
Substance Abuse and Mental Health
Services Administration
U.S. Department of Health
and Human Services

Survey on Substance Abuse Treatment in Juvenile and Adult Correctional Facilities

At the request of the Office of National Drug Control Policy (ONDCP), the Substance Abuse and Mental Health Services Administration (SAMHSA) within the U.S. Department of Health and Human Services is planning a survey of juvenile and adult correctional facilities which provide substance abuse treatment. The project includes development of an inventory of all correctional facilities which potentially provide "onsite" treatment followed by a survey of the facilities to determine treatment characteristics. For all facilities, the survey will seek information on alcohol and drug education/awareness programs, on testing of inmates for alcohol and drug use, and on self-help groups, as well as collecting information to determine whether formal treatment for substance abuse is provided onsite. For those facilities providing treatment, additional information will be collected on the types of treatment offered, the number of inmates in treatment, and the staff providing treatment, gathering an abbreviated data set generally comparable to SAMHSA's Uniform Facility Data Set (UFDS) survey.

Sources of information for the development of the inventory of correctional facilities include the following data bases:

Juvenile facilities	*Census of Public Juvenile Detention, Correctional, and Shelter Facilities* from the Department of Justice, Office of Juvenile Justice and Delinquency Prevention (OJJDP);
Jails	*Census of Jails* from the Department of Justice, Bureau of Justice Statistics (BJS);
State prisons	*Census of State and Federal Correctional Facilities (Adult)* from the Department of Justice, Bureau of Justice Statistics;
Federal prisons	The above data base and additional information on specific treatment programs from the Bureau of Prison's (BOP's) substance abuse treatment division.

In addition to collaboration with the Department of Justice, Office of Justice Programs and ONDCP, SAMHSA has sought advice in the planning of this project from the National Association of State Alcohol and Drug Abuse Directors (NASADAD), the American Correctional Association (ACA), and individual juvenile and adult correctional treatment facilities.